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AGENDA

FOR THE

CIA CAREER COUNCIL

28th Meeting, Thursday, 7 June 1956, at 4:00 p.m.
DCI Conference Room

COMPETITIVE PROMOTION SYSTEM

1. PRESENTATION

- a. Text of Oral Presentation
- b. Charts and Visual Aids
- c. Major Steps in the Competitive Promotion Process

2. STAFF STUDY "COMPETITIVE PROMOTION SYSTEM," dated 7 June 1956

Tab A - Major Steps in the Competitive
Promotion Process

Tab B - Staff Personnel in the Zone of
Consideration

Tab C - Biographic Profile

Tab D - Guide for Promotion Panel Operation

Tab E - Promotion Quotas

The Staff Study, in connection with the
Presentation, will form the basis for further
discussion at a subsequent meeting.

DOCUMENT NO. _____
NO CHANGE IN CLASS. ☐
☐ DECLASSIFIED
CLASS. CHANGED TO: TS S **2011**
NEXT REVIEW DATE: _____
AUTH: HR 70-2
DATE: 24 JUL 1981 REVIEWER: 029725

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~~CONFIDENTIAL~~~~SECRET~~~~CONFIDENTIAL~~COMPETITIVE PROMOTIONI. Introduction:

Today's subject for discussion, Competitive Promotion, is one which I know we all consider most critical from the standpoint of the success of the Agency Career Service Program. Although you will be given a Staff Study outlining the details of the Competitive Promotion Program Procedures for discussion at a later meeting, I would like to run through the basic principles and objectives of this proposed program, together with a resume of the mechanisms and procedures which will be necessary to make it work.

As a matter of background, this is where we stand today with respect to competitive promotions:

A. The existing Regulation on Promotions, as endorsed by this Council, was designed to achieve competitive promotions by requiring the Head of each Career Service to certify that each employee recommended for promotion is the best qualified in the zone of consideration. However, no uniform Agency procedures have been put into effect to provide Heads of Career Service with a positive means of assuring that their certifications result in a competitive promotion system.

B. A Staff Study, Revised Personnel Assignment and Promotion Policies, was approved by the Council and the Director late in 1955. This study affirmed the competitive promotion principle and proposed that flexible assignment procedures be established so as not to delay or deny promotions of employees who had been competitively selected to merit advancement by the Head of their Career Service.

C. At the Meeting of 9 February 1956, the Career Council considered proposed Regulations to put these Revised Personnel Policies into effect. During the course of discussion, a number of changes to the proposed procedures were found necessary to attain a Competitive Promotion Program that would be workable and easy to administer. Suggestions made during this meeting have been considered and, to a large degree, incorporated into the Program which I am outlining. In addition, cognizance has been taken of the criticisms of our current promotion system as presented in the paper to the Inspector General, "Aids to Personnel Management", which I would like to quote:

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"Aside from minimum time-in-grade standards, there appear to be as many different promotion policies as there are career boards. Furthermore, most written promotion recommendations represent a supervisor's opinion not always an unbiased summary of an employee's record. Therefore, career boards may not have all the relevant facts about the man under consideration nor even consider others of equal or greater merit".

D. You may be aware that the Administration through the Civil Service Commission is currently evaluating Federal Agency Promotion Systems. It is likely that changes will be made to achieve wider competition for available promotion opportunities throughout the Federal Service. Accordingly, our consideration of the Agency Promotion System is most timely.

II. Status of Agency Staffing and its Relation to Promotions:

CHART 1.

AGENCY
AVERAGE
GRADE
TREND

As we are all aware, higher average salaries are invariably a by-product of promotions, a reason for careful selectivity in the promotions we make. The Bureau of the Budget and Congress take considerable interest in the Agency average grade and average salary. As you will note from the Chart, the Agency Average T/O Grade in recent years has been increasing about one-tenth of a GS Grade annually whereas the average employee grade is increasing at about two-tenths of a GS Grade. Thus, we have to provide for and justify an increase in personal service expenditures of roughly two million dollars each year to take care of the increasing grade level of our employees. Increases in grade levels, I might add, are at about the same rate throughout the Agency. At the current trend, T/O and employee grades will converge in about four years. Therefore, the conclusion seems clear that we need a system to assure that future promotions are given to the people who most merit them—particularly since it may be not only prudent but also necessary to reduce the rate of promotion at some future point.

CHART 2.

DISTRIBUTION
OF POSITIONS
AND
EMPLOYEES

To look at the Agency promotion potential in another way, this chart compares the number of employees at each grade level with the number of authorized positions of that grade. You will note, that a large percentage of our positions, particularly in the higher grades, are not currently filled at the full grade or are vacant. Thus, through our T/O system of approving staffing patterns, we have in a sense obligated ourselves to fill many positions through promotion action.

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CHART 3.
DISTRIBUTION
OF
ELIGIBILITY
FOR
PROMOTION

Let us consider the number of people in the Agency who are eligible for promotion consideration since they have served the required time-in-grade. These people, from my experience, are well aware of their position in the zone of consideration.

As illustrated, we find that more than fifty percent of our employees at most grade levels have completed the "waiting period". Each has been assured in our existing promotion regulation that he is being considered for promotion each year by the Head of his Career Service. In view of the number of such considerations which must be made, the workload involved is significant; machinery to accomplish the considerations efficiently, equitably, and as uniformly as is reasonable among the Career Services is essential.

CHART 4.

OBJECTIVES
OF THE
COMPETITIVE
PROMOTION
PROGRAM

III. Objectives of the Competitive Promotion Program:

As to the details of the program which we are considering, let us first review its basic objectives. As you will note on the chart, the number one objective is selective consideration for Promotions; in other words, competitive evaluation of employees with their contemporaries as to merit for promotion. To make it possible to achieve this objective without undue disruption of our work, it will be necessary to provide for FLEXIBILITY OF ASSIGNMENTS to permit individuals promoted to complete their tour or an assignment when necessary--even if this assignment is of a lower grade. This principle was agreed to during our previous discussions.

The third objective is PROVISION OF GUIDELINES, qualitative and quantitative, for use by Operating Officials and Heads of Career Services to administer the promotion program.

Quantitative Guidelines will aid in determining "when" an employee will be promoted and will provide through controlled promotion rates a reasonable degree of uniformity of advancement opportunities for employees of all service designations. Qualitative Guidelines involve "who" will be promoted and consist of criteria or promotion factors which are significant for competitive evaluation purposes. Use of these guidelines, will, I believe, contribute a great deal to equity in promotions.

Objective 4, UNIFORMITY OF PROMOTION ADMINISTRATION, will be achieved partly through the use of Guidelines previously mentioned and partly through the use of the same basic mechanism, procedures, and schedules for the competitive evaluation of employees Agency-wide.

Objective 5, PROPER ALIGNMENT OF PERSONNEL ASSETS AND REQUIREMENTS BY CAREER SERVICES, is one which I consider of great management importance. In this connection, the Head of each Career Service needs a balance between the types and levels of personnel in the Career Service and the requirements or jobs he is called upon to staff. Promotions, accordingly, should be so planned that this balance between the levels of people and positions will be achieved and maintained.

Finally, the objective of EMPLOYEE MORALE cannot be overlooked. Each of the foregoing objectives will, if achieved, contribute to accomplishing this final aim. Also, it will be important that, to the greatest degree possible, the promotion system and its working be explained to and understood by all Agency employees at all levels and locations.

IV. The Competitive Area for Promotion:

Any competitive promotion system requires definition of the groups of employees who will compete. In our current program, the competitive area is not clearly defined or uniform among components and Career Services. In some parts of the Agency, competition is principally within the organization or subordinate work unit, with Heads of Career Services and Boards or Panels performing reviewing and endorsing functions. In other segments, the competitive area is roughly the Career Service. Some suggestions have been made that the competitive area be the entire Agency.

Today's proposal is based on the assumption that each Career Service will comprise a competitive area. The Career Service Structure provides the best breakdown we now have of groups of employees of similar occupations and career interests. However, uniform guidelines and procedures proposed to apply to all Career Services will, in effect, assure equity in promotion considerations throughout the Agency.

Within each Career Service, a further determination of the grade levels of employees to be covered by the program is necessary. The Staff Study proposes that in the initial implementation of the program, employees in Grades GS-7-14 inclusive only be subject to the formal evaluation procedures. Personnel in lower grades will continue to be recommended for promotion by their supervisors when they meet current requirements as to performance, qualifications, time-in-grade, and occupy a suitable position. This modification will reduce the number of formal evaluations to be made from approximately [REDACTED] and 25X9A2 is consistent with competitive promotion programs in effect in the traditional career services such as Department of State.

HANDOUT

V. The Competitive Promotion Process:

MAJOR STEPS

IN THE

PROMOTION

PROCESS

With the objectives established, let us look at the actual workings of competitive promotion evaluation and the subsequent processing of promotions. The major steps proposed for this purpose are summarized in this handout, which may be useful in following through the process. (Hand out "Major Steps" to Council Members).

Step 1. Determination of Promotion Quotas for Career Services

This step involves a determination of the "Quantitative Guidelines" to be provided Heads of Career Services in connection with promotion administration. The traditional career services - State and Military - have long relied on a promotion authorization or quota system to control the composition of their staffs rather than relying solely on the grade or rank of each position. Since we are proposing to modify, to a degree, the grade of the specific assignment held by an individual as the principal determinant of his promotability, and since present forecasts indicate some limitations of promotions in the future, it seems advisable to plan in advance the tempo of our promotions. The Staff Study proposes that the Career Council establish promotion quotas for each Career Service by grade levels in consideration of: (a) recent promotion rates for the Agency as a whole by grade levels, provided that (b) requirements of the Career Service with respect to higher grade positions to be filled are not exceeded. In setting quotas, any unusual variation in the past promotion rates of a Career Service or grade level as compared to the Agency averages can be considered, as well as any unusual staffing requirements projected for the immediate future. On the whole, however, the use of Agency-wide promotion rates will tend to provide equality of opportunity for promotion across Career Service lines without restricting unduly any Service. A secondary use for the quota mechanism is as an index in computing future budgets.

CHART 5
SEMI-ANNUAL
PROMOTION
RATES BY
CAREER
SERVICES

To take a look at current promotion rates, the chart illustrates the fact that promotion rates at each level above GS-8 are very nearly the same among Career Services under each Deputy Director. As we would expect, the rates decrease as the grade level increases. Although this chart is for a six month period only, figures for preceding periods are roughly the same. I believe the conclusion could be drawn that Agency average promotion rates for all levels from GS-9 up might be used as the base in determining future promotion quotas. However, further analysis of the positions and promotion rates at GS-7 and GS-8 will be required to arrive at equitable rates among the Career Services for these levels.

The second part of the promotion rate formula, availability of positions for promotion purposes, is covered in some detail in the Staff Study so I will not elaborate on this point. Suffice it to say that the approximation of positions for promotion is computed by comparing the grades of the people in each Service with the grades of the positions they encumber. Adjustments are then made for vacant position which are to be activated during the period.

Step 2 - Preparation for Panel Evaluation:

With the establishment of promotion quotas for the Career Services, the next step involves the preparation for competitive evaluation of employees. First, an Agency-wide schedule for competitive evaluation of employees by grade levels will be established e.g., GS-7 and GS-8 personnel to be considered one month, GS-9 and GS-10 personnel the next month, etc. so that a complete cycle will take place each 6 months during the initiation of the program. (Later, perhaps we could consider personnel in the higher grade levels annually.)

CHART 6. COMPETITIVE PROMOTION SYSTEM

Promotion Panels will be appointed by the Head of each Career Service to evaluate all employees of GS-7 to GS-14 grade levels who are in the zone of consideration. The Panels could, where practical, be identical to the Career Service Boards or to established Panels. As you will note from the chart, the procedures propose the establishment of an Advanced Panel of a minimum of 3 members of each Career Service to competitively evaluate employees in grades GS-12 through 14, and a similar Intermediate Panel to evaluate personnel in grades GS-7-11 inclusive. GS-15 and above personnel are, of course, under the jurisdiction of the Supergrade Board. As I have mentioned, the system currently does not include panel evaluation of employees below GS-7; but at some time in the future, we may find it advisable to provide for a Basic Panel to evaluate this category.

CHART 7. COMPETITIVE EVALUATION FOR PROMOTION

In consideration of the large number of personnel to be evaluated, together with the fact that Promotion Panel membership will be composed of members of the Career Service of higher grade than the employees they evaluate, we must keep Panel workload to the minimum consistent with the exercise of good judgment. Accordingly, the system proposes that competitive evaluations be made to the greatest extent possible through the consideration of Biographic Profiles of each candidate rather than through time consuming review of Personnel Folders. The Profile will be prepared in advance by the Career Management Officers with the assistance of Office of Personnel and will contain, as you will note from the chart, factual information and evaluative information which the Panel may consider in making evaluation decisions.

CHART 8.
USES OF
THE BIO-
GRAPHIC
PROFILE

I would like to add the comment that the Biographic Profile, though representing a workload factor at the moment, will have many other uses than for promotion considerations. As you will note from this chart, the Profile, a two-page document, will provide Operating Officials and Heads of Career Service with most of the basic information about people which now requires searching the employee folder. Thus, use of the Profiles will materially curtail the promiscuous circulation of personnel folders, which has been a problem of long standing. I realize that Biographic Profiles for some personnel to be evaluated cannot be prepared overnight, particularly since extreme care must be taken that all information is verified. Therefore, reliance will necessarily have to be placed on the Personnel Folder during the initiation of the program. 25X9A2

In addition to the Biographic Profile or equivalent, the Promotion Panel will be provided with the listing of personnel recommended for promotion by Operating Officials (under whom the employees serve) as designated by the Head of the Career Service. Whenever practical, Operating Officials will list names in the order of employees' merit for promotion.

CHART 7.
REPLACE CHART
ON
COMPETITIVE
EVALUATION
FOR
PROMOTION

Step 3-Promotion Panel Action:

Now, let us consider the actual evaluation of employees by the Panels. Panel Members will review Biographic Profiles or equivalent of all individuals recommended for promotion by Operating Officials as well as other individuals in the zone of consideration but not recommended for promotion. Competitive appraisals will be based on the Promotion Factors as listed on the chart. (Name) The Panel Members may, of course, request the Personnel Folder if necessary to corroborate or obtain elaboration on any question. Or they may, when practical, interview the supervisor of an employee or others having knowledge of his performance or other factor affecting promotion. After due consideration, each Panel Member will independently rank in order of merit for promotion all employees nominated by Operating Officials and any others not formally recommended but who the Panel considers should be included. After this has been accomplished, any great divergences in rankings by Panel Members may be discussed, and more information obtained on any individual which might be useful in obtaining a valid appraisal. Thereafter, Panel Members may adjust their ranking. The final rankings will then consist of the average or composite ranking of all Panel Members. This rank order list is then submitted to the Head of the Career Service.

Step 4 - Action by Head of Career Service:

Upon receipt of the rank order or promotion list, the Head of the Career Service, as you will note on the handout, will schedule promotions for the grade level - adhering as closely as possible to an Agency-wide effective date for the majority of the actions. Prior

to initiating the promotion of each individual, he will determine that the individual is occupying a position of grade which will accommodate the promotion action or that the employee can be utilized in a position of appropriate grade in the foreseeable future. It is expected that the Head of the Career Service will make a final check with the Operating Official as to each promotion - particularly if an employee is being promoted who did not have the prior recommendation of Official.

Step 5 - Action by Operating Official:

Operating Official receives notification from Head of Career Service as to employees being promoted, and is free to comment on the timing of promotions or may state reasons why a proposed promotion be withheld. In addition, he may recommend to the Head of the Career Service promotion of any individual not included on the promotion list, and provide detailed justification to support each such action.

Step 6 - Action by Office of Personnel:

Office of Personnel will complete the promotion action, including qualifications review and documentation. Throughout the process, staff members of Office of Personnel will assist Operating Officials and Heads of Career Services as necessary.

VI. Conclusion:

We have covered the principal feature of the competitive promotion program proposed. In many ways the system is similar to procedures now in effect in the Clandestine Services Career Service for the competitive evaluation of employees in grade GS-14. To conclude, it may be well to compare the proposed system with that now being used.

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A. Currently, R [REDACTED] requires an annual consideration for promotion of all employees in the zone. I believe this has been done rather informally in most cases in the past. The proposed system provides for a formal semi-annual promotion consideration of employees in the zone by Panel action.

B. Currently, supervisors recommend promotions through channels. Supervisors continue under the proposed system to play a vital part in determining employees to be promoted and the timing of their promotion, but the Head of the Career Service will normally initiate promotion actions.

C. Currently, no limit is applied to the number of promotions which may be made providing the grade of the position occupied is sufficient to accommodate the promotion action. Under the proposed competitive system, the control exercised by the grade of the position occupied is modified in individual cases, and in lieu thereof promotion quotas based on past Agency promotion rates and upon availability of higher grade positions throughout the Career Service are used. Personnel promoted under the competitive system may occupy a position of lower grade than their own, until reassignment is practicable; but they must be capable of being utilized in a position of proper grade in the foreseeable future.

D. Current time-in-grade requirements are unchanged under the proposed system, and exceptions to these requirements may be authorized.

E. Finally, qualifications and demonstrated ability are significant under both systems; they will, however, assume greater importance under the system of competitive evaluation by Panels.

Although we have covered the proposal in some detail, some questions you have may be answered in the Staff Study. Since we are considering a promotion system quite different from that now in effect, I believe you may wish to look over the proposal at some length and discuss it at our next meeting. Certainly, some changes or modifications may be suggested to improve the system to better meet our requirements.

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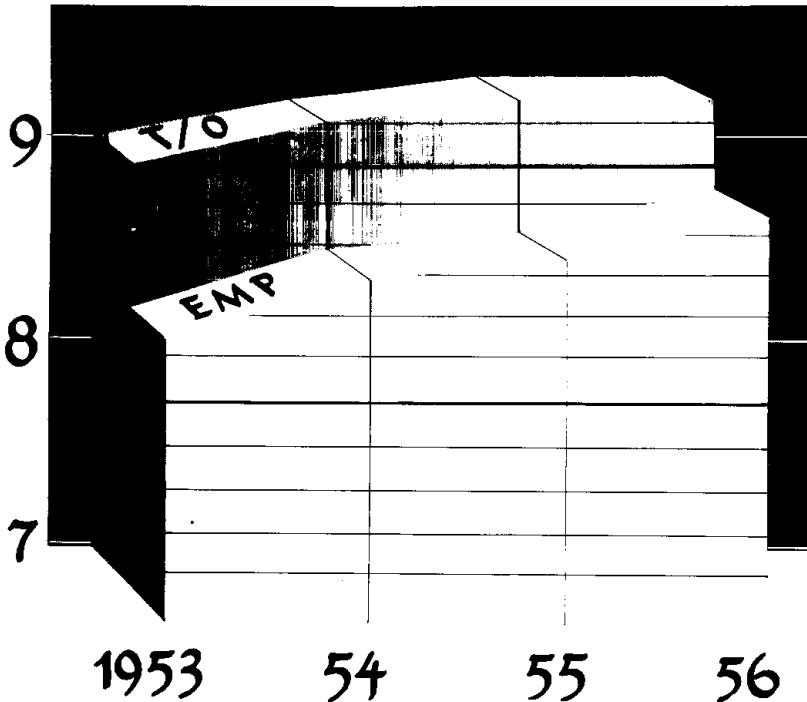
AGENCY AVERAGE GRADE TREND

GS

ONE-TENTH OF A GS-GRADE

INCREASE =

ONE
MILLION DOLLARS
PER YEAR



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CHART 4.

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OBJECTIVES OF THE COMPETITIVE PROMOTION PROGRAM

1. Selective Consideration.
2. Flexibility of Assignments for Full Utilization of Employee Skills.
(Promotions not rigidly dependent upon grade of job held.)
3. Guidelines for Promotion Considerations.
(Quantitative and Qualitative)
4. Reasonably Uniform Promotion Administration among the Career Services.
5. Proper alignment of Personnel Assets & Requirements by Career Services.
6. Building and Maintenance of Employee Morale.

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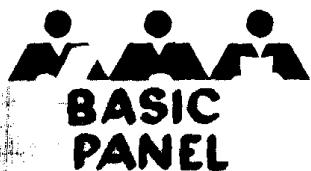
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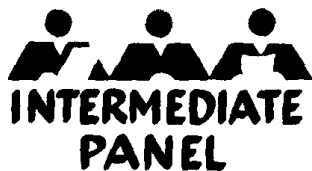
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COMPETITIVE PROMOTION SYSTEM



EMPLOYEES

GS-1-6



EMPLOYEES

GS-7-11



EMPLOYEES

GS-12-14



EMPLOYEES

GS-15-18

By Career Service

All
Career
Services

CHART 7.

COMPETITIVE EVALUATION FOR PROMOTION

PROMOTION FACTORS

1. Performance (Productivity, Quality, Level of Job)
2. Attitude
3. Qualifications - Education, Experience, Training,
Personal Characteristics
4. Value of Employee to the Agency-Present and Potential
5. Length of Service - Time in Grade

MEDIA USED FOR COMPETITIVE EVALUATIONS

A. The Biographic Profile

1. FACTUAL INFORMATION

Vital Statistics	-	Education
Employment History	-	Training
Qualifications	-	Current Assignment
Reserve and Medical Status		

2. EVALUATIVE INFORMATION

Fitness Report Summaries

Supervisor's Comments Relative to Future Utilization
Noted on Career Preference Outline

Summary of Disciplinary Actions, Warnings,
Commendations, Awards.

Supervisor's Comments as to Employee's Merit for
Promotion and the Employee's Ranking for Promotion
among Contemporaries in the Immediate Work Area.

B. Personal Knowledge of Panel Members Regarding The Individual.

C. Interview with Supervisors or Others Having Knowledge of
Employees Being Evaluated.

CHART 8.

[REDACTED]

USES OF THE BIOGRAPHIC PROFILE

1. Competitive Promotion Evaluation
2. Individual Career Planning
3. Training Determinations
4. Fitness Reports
5. Selection for Assignments
6. Substitute for Personnel Folder

[REDACTED]

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MAJOR STEPS IN THE COMPETITIVE PROMOTION PROCESS

1. DETERMINATION OF PROMOTION QUOTAS FOR CAREER SERVICES

With due regard to the current staffing of the Agency T/O, needs of the Agency, past promotion rates, and available appropriations, the Office of Personnel shall develop semi-annually a proposed promotion quota by grade groups for each Career Service. The Career Council will review this proposal and will make the final determination of promotion quotas, except as otherwise approved by the Director.

2. PREPARATION FOR PANEL EVALUATION

- a. Heads of Career Services will appoint Panels composed of a minimum of 3 voting members of grades higher than that of employees to be evaluated. Intermediate Panels will be appointed to evaluate employees in grades GS-7 through GS-11 and Advanced Panels will be appointed to evaluate employees in grades GS-12 through GS-14 for promotion. Panel members will serve for a period of six months or until the consideration of the grade groups for which they are responsible has been completed.
- b. Operating Officials, as designated by Heads of Career Services, will submit list of employees at each grade level which they recommend for promotion. Whenever practical, operating officials will rank these recommended employees in the order of their merit.
- c. Biographic Profiles or equivalent will be prepared for promotion-eligible employees. The primary purpose of such a profile is to eliminate, in the majority of cases, the need for Panel members to study the official personnel folders of each eligible employee in order to appraise basic qualifications, performance and related data. These profiles may also be used for other personnel purposes: for example, they may be used in lieu of the official personnel folder in reviewing and considering assignments, attendance at training courses, fitness report preparation and review, individual career planning, skills analysis and related personnel matters.
- d. Insofar as is practicable, all Career Services, will competitively evaluate eligible employees in the same GS Grade at the same time.

2. PROMOTION PANEL ACTION

Promotion Panels will competitively evaluate for promotion all employees in the zone of consideration. In accomplishing the evaluation process, Panels will utilize for reference purposes the Guide for Promotion Panel Operations, TAB D, of the Staff Study, as well as Biographic Profiles or equivalent for each individual being evaluated. The rank order list prepared by the Panel and submitted to the Head of the Career Service will include in order of merit for promotion all employees recommended by Operating Officials together with other eligibles selected by the Panel as warranting promotion. Panel determinations will not be subject to justification except to the Head of the Career Service.

4. ACTION BY HEAD OF CAREER SERVICE

- a. Considers Rank Order Listing, advice from Career Board, and personal knowledge of employees in making promotion recommendations. Adheres to an Agency-wide effective date for as many promotions as is practical.
- b. Assures that employee can be utilized in a position of proper grade either currently or in the foreseeable future.
- c. Informs Operating Officials of the names of their employees being recommended for promotion. Considers their comment as to timing of promotion or request that a promotion be withheld.

5. ACTION BY OPERATING OFFICIAL

- a. Upon request from Head of Career Service, comments as to timing of promotion or states reasons why a proposed promotion should be withheld.
- b. May recommend to Head of Career Service promotion of any individual not within the promotion zone on the rank order list. Provides detailed justification in support of each such action.

6. ACTION BY OFFICE OF PERSONNEL

Review and authentication of promotion requests. Keeps records and reports on status of promotion quotas by Career Services.